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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/557,334	04/24/2000	Glen K Okita	0600/96755	7800

24628 7590 09/13/2006

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EXAMINER
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DELGADO, MICHAEL A

ART UNIT	PAPER NUMBER
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2144

DATE MAILED: 09/13/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b> 09/557,334	<b>Applicant(s)</b> OKITA ET AL.	
	<b>Examiner</b> Michael S. A. Delgado	<b>Art Unit</b> 2144	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 05 June 2006.
- 2a) ☐ This action is FINAL.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-3 and 5-27 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-3 and 5-27 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 24 April 2000 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)  | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date <u>9/19/02, 2/11/03</u> . | 6) <input type="checkbox"/> Other: _____  |

## DETAILED ACTION

### *Claim Rejections - 35 USC § 102*

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

2. Claims 1-3 and 5-27 are rejected under 35 U.S.C. 102(e) as being anticipated by US 6,324,681 by Sebesta et al.

In claim 1, Sebesta teaches about a method of adding an event source to a transaction processing system having a workflow server engine “On-Line Transaction Processing OLTP” comprising (Col 2, lines 35-45) (Fig. 5):

defining the event “DCOM client/server component” in a workflow database (Col 2, lines 50-60) (Col 4, lines 55-60) (Col 5, lines 5-15); Event is defined by the view file.

creating at least one executable function which creates a data structure for events coming from the event source (Col 2, line 65- Col 3, line 10) (Col 6, lines 5-10); and

creating a workflow to be executed on the workflow server engine in response to an event from the event source (standard call from a client to OLTP) (Col 3, lines 5-15) (Col 6, lines 5-15).

In claim 2, Sebesta teaches about a method of claim 1, wherein the event definition includes an event id “universal unique identification UUID” (Col 6, lines 15-20) (Col 6, lines 55-65).

In claim 3 Sebesta teaches about a method of claim 2, wherein the created workflow is associated with the event id so that the created workflow is executed in response to any event having the event id (Col 6, lines 55-65).

In claim 5 Sebesta teaches about a method of claim 1, wherein the event definition includes a list of parameters associated with the event (Col 5, lines 5-15).

In claim 6 Sebesta teaches about a method of claim 1, wherein the at least one executable function is comprised of a dynamic link library (Col 3, lines 15-25).

In claim 7 Sebesta teaches about a method of claim 1, wherein the at least one executable function is designed to send an event to the workflow server engine (Col 6, line 55- Col 7, line 2).

In claim 8 Sebesta teaches about a method of claim 1, wherein the event source is added without changing the workflow server engine (Col 3, lines 5-25). The DCOM client and server plays the role of a proxy thus there is no change to the OLTP (workflow server engine).

In claim 9 Sebesta teaches about a method of claim 1, further comprising creating at least one rule for associating an event from the added event source with the workflow (Col 2, lines 55-60). The view files detail what is required of the format and how it will be used.

In claim 10 Sebesta teaches about a method of claim 9 wherein the rule includes a logic expression (Col 4, lines 13-15). To compare requires a logical AND.

In claim 11 Sebesta teaches about a method of claim 9, wherein the event definition include at least one parameter, and wherein the created at least one rule includes the use of the at least one parameter (Col 2, lines 55-65).

In claim 12 Sebesta teaches about a method of claim 1, wherein a plurality of events are defined in the workflow database, the method further comprising the step of categorizing the events into a plurality of event types (Col 2, lines 45-60) (Col 3, lines 1-10).

In claim 13 Sebesta teaches about a method of claim 12, wherein each of the workflow server engine handles each of the event types in different ways (Col 3, lines 1-10).

In claim 14, Sebesta teaches about a method of adding a new subsystem "DCOM" to a workflow server engine "OLTP" having a plurality of subsystems (DCOMs for client and server) for providing events to the workflow server engine, the method comprising (Col 3, lines 1-30) (Fig. 5):

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defining an event, which will be generated by the new subsystem (Col 2, lines 50-60)  
(Col 4, lines 55-60) (Col 5, lines 5-15);

creating a dynamic link library for creating a data structure for the defined event (Col 3,  
lines 15-25); and

associating the defined event with a workflow so that the associated workflow is  
executed on the workflow server engine in response to an event from the new subsystem (Col 3,  
lines 5-15) (Col 6, lines 5-15).

In claim 15 Sebesta teaches about a method of claim 14, wherein the dynamic link  
library creates a data structure for the defined event (Col 3, lines 10-25).

In claim 16 Sebesta teaches about a method of claim 14, wherein defining the event  
further comprises assigning an event id to the event (Col 6, lines 55-65).

In claim 17 Sebesta teaches about a method of claim 14, wherein defining the event  
further comprises associating a plurality of parameters to the event (Col 2, lines 55-60).

In claim 18 Sebesta teaches about a method of claim 17, wherein the plurality of  
subsystems also have a plurality of associated events (Col 3, lines 5-15).

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In claim 19 Sebesta teaches about a method of claim 18 further comprising exchanging events between different subsystems during the execution of the workflow (Col 3, lines 10-30).

In claim 20 Sebesta teaches about an apparatus for executing a transaction task within a transaction processing “OLTP” system comprising (Fig. 5) (Col 2, lines 5-15):

a plurality of event providers (Client making a standard call using C, C++, Visual Basic) for providing a source of events to the transaction processing system (Col 3, lines 1-15);

a database for storing information relating to the events provided by the event providers (Col 2, lines 45-55) (Col 6, lines 55-65); The place of storage used by the developer to store file that will be access by the DCOM client.

a workflow server engine “OLTP” for executing workflows in response to events from the plurality of event providers (Col 3, lines 20-30); and

a workflow editor for creating and editing workflows to be executed on the workflow server engine (Col 2, lines 45-55) (Col 10, lines 5-20). This is the tool used by the developer to create the service.

In claim 21 Sebesta teaches about an apparatus of claim 20, further comprising:

a new event provider (Col 3, lines 1-15);

a dynamic link library associated with the new event provider for allowing the new event provider to provide events to the workflow server engine (Col 3, lines 15-25).

In claim 22 Sebesta teaches about an apparatus of claim 21, wherein the dynamic link library allows the new event provider to provide events to the workflow server engine without changing the workflow server engine (Col 3, lines 15-30).

In claim 23 Sebesta teaches about a apparatus of claim 20, wherein the transaction processing system collects step execution information (Col 4, lines 10-20)

In claim 24 Sebesta teaches about a apparatus of claim 20, wherein the collected information includes information relating to the number of times a branch was executed by the workflow server engine (Col 4, lines 35-50).

In claim 25 Sebesta teaches about a apparatus of claim 20, wherein the collected information includes information relating to the step execution time for at least one step executed by the workflow server engine (Col 4, lines 10-20).

In claim 26 Sebesta teaches about a workflow execution system comprising:  
a workflow server engine "OLTP" adapted to execute workflow "DCOM client and server" on the workflow server engine in response to an event "standard call from a DCOM client" (Col 3, lines 1-35) (Fig. 5);

a database server (Col 2, lines 45-55);

a plurality of subsystems for providing events to the workflow server engine (Col 3, lines 5-25); and



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wherein components of the workflow server engine are standards-based components “DCOM” (Col 3, lines 5-25).

In claim 27 Sebesta teaches about a system of claim 26, wherein the components are comprised of ActiveX controls “X/Open compliant” (Col 5, lines 1-10).

### Response to Arguments

Applicant’s arguments include the failure of previously applied art to expressly disclose creating a workflow to be executed on the workflow server engine in response to an event from the event source . See Response, Remarks dated 12/21/2005, pages 10-12. It is evident from the detailed mappings found in the above rejection(s) that Sebesta et al. disclosed this functionality of creating a workflow in its DCOM generation process. Further, it is clear from the numerous teachings (previously and currently cited) that the provision for the dynamic linking of workflow model, was widely implemented in the networking art. Thus, Applicant’s arguments drawn toward distinction of the claimed invention and the prior art teachings on this point are not considered persuasive.

### *Conclusion*

3. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

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US 6,279,009 by Smirnov et al, teaches about a dynamic creation of workflows from deterministic models of real world processes.

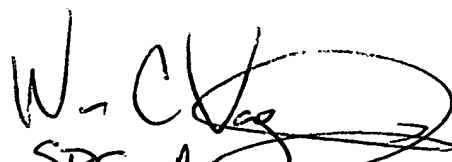
US 6,028,997 by Leymann et al, teaches about a method of generating an implementation of reusable parts from containers of a workflow process-model.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Michael S. A. Delgado whose telephone number is (571)272-3926. The examiner can normally be reached on 7.30 AM - 5.30PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, William C. Vaughn Jr. can be reached on (571)272-3922. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

  
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